

Technical Appendix: What Are Districts' Written Policies Regarding Student Substance-Related Incidents?

To better understand the nature of substance-related discipline rules and guidelines that may be in use around the country, the U.S. Department of Education's Institute of Education Sciences (IES) commissioned an examination of the features of the written substance-related policies for high schools in the 100 largest school districts. The key findings from that investigation, which was conducted by RMC Research Corporation, are presented in the brief **"What Are Districts' Written Policies Regarding Student Substance-Related Incidents?"**ⁱ. This appendix to that brief contains the codebooks used to conduct the review.

Using information from IES' National Center for Education Statistics' 2007 Common Core of Data, the study team identified the 100 school districts in the United States with the largest number of students enrolled and retrieved from each district's web site documents containing information on the district's alcohol and drug policies. Not all districts' policy documents addressed each feature or response in the same level of detail. Frequently used document names included Student Code of Conduct, Student Handbook, and Student/Parent Handbook. The study team accessed substance-related school board policy documents if no student handbook or code of conduct was available.

The name and date of documents reviewed for each district are included in Exhibit A.1. These documents were reviewed using the guidelines presented in Exhibits A.2 through A.5. Document coding was done by two study team members. For many items, a checkmark (✓) was used when a district's documents met a particular criterion detailed in the codebooks (e.g., the use of the specified key words). An "M" was used instead of ✓ if the documents indicated that the response was mandatory, as indicated by use of the word *mandatory* or by use of words *must*, *shall*, or *will*. For other policy features (see Exhibit A.3), coders used the letters a-e to categorize policies for drug paraphernalia, prescription drugs, drug look-alikes, etc. Conditions that districts could place on suspended or expelled students were coded according to whether the condition eliminated or shortened the suspension/expulsion or whether the condition was required for returning to school (see Exhibit A.5).

The documents for a random subset of 10 districts were independently coded by both reviewers for the purpose of determining consistency. Across all ten districts and all responses included in the codebooks, the reviewers provided identical coding in 83% of instances.

Exhibit A.1
District Policy Documents Reviewed

District Name	State	Document Name	Document Date
Anchorage	AK	Student Handbook	2010–11
Mobile County	AL	Student Handbook & Code of Conduct	6/2010
Mesa Unified	AZ	Information & Guidelines 2010–2011 Secondary Students	2010–11
Tucson Unified	AZ	Board Policy JICH; Guidelines for Student Rights and Responsibilities	7/2010
Capistrano Unified	CA	Board Policies 5143, 5150, 5152; Education Code	1995; 1997
Corona-Norco Unified	CA	Parent Student Handbook; Health and Safety Code Section 11053–11058; School Board policy 5211; School Board Policy AR 5211; School Board Policy 5222; School Board Policy 5223; School Board Policy 5224	2010–11; Unknown; 2002; 1996; 2002; 1996; 1996
Elk Grove Unified	CA	Parent & Student Handbook	2010–11
Fresno Unified	CA	Parent and Student Notification and Information Handbook 2010–2011	2010–11
Garden Grove Unified	CA	Parent-Student Handbook; Health and Safety Code Section 11053–11058	2010–11
Long Beach Unified	CA	Guidelines for Parents and Students	2010–11
Los Angeles Unified	CA	Policy Bulletin 3277; 3819; Ed Code 48900	10/2006 & 8/2007
Sacramento City Unified	CA	Annual Parent and Student Rights Notification and Standards of Behavior; School Board Policies 5131.6, 5144.1, 5131.6, 5144	2010–11
San Bernardino City Unified	CA	Board Policies and Administrative Rules 5131, 5144	10/2007
San Diego Unified	CA	Administrative Procedures 6298, 6290, 6295, 5140	4/2008
San Francisco Unified	CA	Student and Parent/Guardian Handbook	2010–11
San Juan Unified	CA	Parent Handbook	2010–11
Santa Ana Unified	CA	Code of Student Conduct; California Education Code 48900	(No Date)
Cherry Creek	CO	Student Conduct and Discipline, Rights, and Responsibilities	7/2010
Denver	CO	District Policy JICH-R Drug and Alcohol Use by Students; District Policy JJIE/JJIF Drug and Steroid Use/Student Conduct in School Athletics; Policy JK-R Student Conduct and Discipline Procedures; Policy JLCD Administering Medicine to Students	10/2009; 8/1976; 10/2009; 10/2003
Douglas County	CO	Student Rights & Responsibilities	2010-11

exhibit continues

Exhibit A.1 (continued)

District Name	State	Document Name	Document Date
Jefferson County	CO	Conduct Code and Related Policies	Fall 2010
District of Columbia	DC	DCPS Student Discipline Policy	(No Date)
Brevard	FL	2010–2011 Secondary Handbook Code of Conduct; School Board Policy 5500	2010–11
Broward County	FL	Code of Student Conduct	7/2010
Dade County	FL	Code of Student Conduct	Fall 2007
Duval	FL	Code of Student Conduct	2010–11
Hillsborough	FL	Student Handbook	2010–11
Lee	FL	Code of Conduct	2010–11
Orange County	FL	Code of Student Conduct	2010–11
Osceola	FL	Code of Student Conduct	2010–11
Palm Beach	FL	Student Code of Conduct; School Board Policies; Student and Family Handbook	2010–11
Pasco	FL	Student Code of Conduct	2010–11
Pinellas	FL	Code of Student Conduct	2010–11
Polk	FL	Code of Student Conduct	2010–11
Seminole	FL	Student Conduct and Discipline Code	2010–11
Volusia	FL	Code of Student Conduct and Discipline	(No Date)
Atlanta	GA	2010–2011 Student Handbook	2010–11
Clayton County	GA	Board Policies JGCD, JCEB; Georgia Code	2/2010
Cobb County	GA	Board Administrative Rule JIDCA-H	7/2010
DeKalb County	GA	Code of Student Conduct Student Rights and Responsibilities	2010–11
Fulton County	GA	Code of Conduct & Discipline Handbook	2009–10
Gwinnett County	GA	Student-Parent Handbook	2010–11
Hawaii	HI	Administrative Rules	9/10/09
Chicago	IL	Student Code of Conduct	7/2010
Jefferson County	KY	Code of Acceptable Behavior and Discipline and the Student Bill of Rights	(No date)
Boston	MA	Guide to the Boston Public Schools for Families and Students; Boston Public Schools Code of Conduct	2010–11; 9/2010
Anne Arundel County	MD	Student Handbook A Guide To Students' Rights and Responsibilities	2010–11
Baltimore City	MD	BCPS 2010–2011 Code of Conduct	2010–11
Baltimore County	MD	Baltimore County Schools; School Board Policy 5560	2010–11, 10/2007

exhibit continues

Exhibit A.1 (continued)

District Name	State	Document Name	Document Date
Howard County	MD	2009–2010 Parent’s guide to the Student Code of Conduct, Board of Education Policy 9230 Effective 2005, Board of Education Policy 9230-PR Effective 2006; Student Code of Conduct; Howard County Public School System Policy 9200	2009–10, 5/ 2005; 1/2006; 2010–11; 7/2008
Montgomery County	MD	Student’s Guide to Rights and Responsibilities	8/2010
Prince George’s County	MD	Code of Student Conduct	8/2009
Detroit City	MI	Rights and Responsibilities of Students in the Detroit Public Schools	2009–10
Charlotte-Mecklenburg	NC	Student Rights, Responsibilities, and Character Development Handbook; Parent-Student Handbook; School Board Policies	2010–11
Cumberland County	NC	Student Code of Conduct	6/2010
Forsyth County	NC	Student Parent Handbook	2010–11
Guilford County	NC	Student Handbook	2010–11
Wake County	NC	Student/Parent Handbook	2010–11
Omaha	NE	Code of Conduct Omaha Public Schools and Records for Students	2009–10
Albuquerque	NM	Student Behavior Handbook	2010–11
Clark County	NV	Code of Conduct for Secondary Students	4/2010
Washoe County	NV	Board Policy P039; sample high school student handbook	2010–11
New York City	NY	Discipline Code	9/2010
Cleveland Municipal City	OH	Student Code of Conduct	2010-11
Columbus City	OH	Guide to Positive Student Behavior	2010–11
Philadelphia	PA	Code of Student Conduct	2010–11
Greenville	SC	Student Behavior Code	(No date)
Davidson County	TN	Code of Acceptable Student Behavior and Discipline	(No date)
Knox County	TN	Board of Education: Misbehaviors and Disciplinary Options	6/2008
Memphis City	TN	Student Code of Conduct Handbook	2010–11
Shelby County	TN	Student Parent Handbook	2010–11
Aldine ISD	TX	Student/Parent Handbook	2010–11
Arlington ISD	TX	Student Code of Conduct	2010–11
Austin ISD	TX	Student Code of Conduct and Handbook	2010–11

exhibit continues

Exhibit A.1 (continued)

District Name	State	Document Name	Document Date
Brownsville ISD	TX	Student Code of Conduct Student Parent Handbook	2010–11
Cypress-Fairbanks ISD	TX	Cypress Fairbanks ISD Student Code of Conduct; Cypress Fairbanks ISD Student Handbook; School Board policies FNCF exhibit, FNCF legal	2010–11
Dallas ISD	TX	Student Code of Conduct	2010–11
El Paso ISD	TX	Student Code of Conduct	9/2009
Fort Bend ISD	TX	Student/Parent Handbook	2010–11
Fort Worth ISD	TX	Student Code of Conduct	2010–11
Garland ISD	TX	Student Code of Conduct	8/2010
Houston ISD	TX	Code of Student Conduct	2010–11
Katy ISD	TX	Discipline Management Plan and Student Code of Conduct	2010–11
Lewisville ISD	TX	2010–2011 Code of Conduct	2010–11
North East ISD	TX	Student-Parent Handbook: Secondary Schools Grades 6–12	5/2010
Northside ISD	TX	Secondary Student-Parent Handbook	2010–11
Pasadena ISD	TX	Student Code of Conduct; High School Student Handbook and Code of Conduct; Health and Safety Code Chapter 483; Health and Safety Code Chapter 481	2010–11; 2010–11; 1991; 2007
Plano ISD	TX	Student/Parent Policy Guide	2010–11
San Antonio ISD	TX	Student Code of Conduct	8/2010
Alpine	UT	Rules and Regulations No. 5430, 5410, 5180	2005; 2006
Davis	UT	District Policy and Procedures	11/2010
Granite	UT	Student Manual 2010–2011	2010–11
Jordan	UT	JSD Statement of Policy: Drugs & Alcohol; JSD Statement of Policy Discipline of Students	1/2009, 9/2010
Chesterfield County	VA	Standards for Student Conduct and Attendance	2010–11
Fairfax County	VA	Student Responsibilities and Rights; Regulations	8/2010
Henrico County	VA	Code of Student Conduct	2010–11
Loudoun County	VA	Student Rights and Responsibilities	2010–11
Prince William County	VA	2010–2011 Code of Behavior	2010–11
Virginia Beach City	VA	Code of Student Conduct; School Board Policy 5–41.1; School Board Policy 5–57.1; School Board Policy 5–21	2010–11; 5/2009; 5/2009; 4/2006
Milwaukee	WI	Administrative Policies 8.17; Parent/Student Handbook on Rights, Responsibilities, and Discipline	2010–11

Exhibit A.2
Codebook for Responses to Substance-Related Incidents

Response	Possession/Use or Sale/Distribution
1. Individual or group counseling at school	✓ if the policy document uses the word “counseling” in response to student possession or use (sale or distribution) of alcohol or any type of drugs and this counseling is provided by school or district staff. If the counseling is specifically for substance abuse, ✓ item 8 instead.
2. Peer mediation	✓ if the policy document uses the words “mediation,” “peer mediation,” or “conflict resolution” in response to student possession or use (sale or distribution) of alcohol or any type of drugs.
3. Mentoring program	✓ if the policy document uses the words “mentoring program” in response to student possession or use (sale or distribution) of alcohol or any type of drugs.
4. Behavior contract	✓ if the policy document uses the words “behavioral contract” or references any type of plan that a student agrees to verbally or in writing with regard to their behavior in response to student possession or use (sale or distribution) of alcohol or any type of drugs.
5. Behavioral progress reports	✓ if the policy document uses the words “behavioral progress reports” or references any type of reports (including drug testing reports) provided to the school or district with regard to student behavior in response to student possession or use (sale or distribution) of alcohol or any type of drugs.
6. Community or school service	✓ if the policy document uses the words “community service” or “school service” or references any type of service provided by the student (e.g., campus clean-up or work detail) in response to student possession or use (sale or distribution) of alcohol or any type of drugs.
7. Referral to community organization or agency, for unspecified services	✓ if the policy document states that a student may be referred to a community organization or agency in response to student possession or use (sale or distribution) of alcohol or any type of drugs, with no indication of what services the organization or agency might provide.
8. Referral to substance use counseling, intervention, or treatment program	✓ if the policy document states that a student may be referred to any type of substance use counseling, intervention classes, rehabilitation, or treatment programs (regardless of whether provided by school, district or community agency staff) in response to student possession or use (sale or distribution) of alcohol or any type of drugs.
9. Provide information regarding substance abuse counseling, intervention, or treatment program	✓ if the policy document states that the student or parent may be provided information, but NOT a referral, regarding any type of alcohol or drug counseling, interventions, classes, rehabilitation, or treatment programs (regardless of whether provided by school, district or community agency staff) in response to student possession or use (sale or distribution) of alcohol or any type of drugs.
10. Obtain assessment for substance dependence	✓ if the policy document uses the words “assessment for substance dependence” or referenced any type of alcohol or drug assessment in response to student possession or use (sale or distribution) of alcohol or any type of drugs.

exhibit continues

Exhibit A.2 (continued)

Response	Possession/Use or Sale/Distribution
11. Parent conference or notification	✓ if the policy document states that the school or district may contact a parent or guardian via telephone, email, letter, conference or by any other means in response to student possession or use (sale or distribution) of alcohol or any type of drugs.
12. In-school discipline (detention, in-school suspension, exclusion from extracurricular activities, communal lunch)	✓ if the policy document references any type of school administered discipline (e.g., detention, in-school suspension, exclusion from extracurricular activities, exclusion from communal lunch) with the exception of suspensions or expulsions with regard to student possession or use (sale or distribution) of alcohol or any type of drugs.
13. Principal-determined suspension	✓ if the policy document states that a student may be suspended by a principal in response to student possession or use (sale or distribution) of alcohol or any type of drugs. The duration of the suspension should be noted for first time and subsequent offenses. If the policy document indicates that the suspension is mandatory (as indicated by the words “must”, “shall”, or “will”), designate it with M.
14. Superintendent-determined suspension	✓ if the policy document states that a student may be suspended by a superintendent or other district level employee in response to student possession or use (sale or distribution) of alcohol or any type of drugs. The duration of the suspension should be noted for first time and subsequent offenses. If the policy document indicates that the suspension is mandatory (as indicated by the words “must”, “shall”, or “will”), designate it with M.
15. Expulsion	✓ if the policy document states that a student may be referred or recommended for expulsion in response to student possession or use (sale or distribution) of alcohol or any type of drugs. The potential duration of the expulsion should be noted for first time and subsequent offenses. If the policy document indicates that the expulsion is mandatory (as indicated by the words “must”, “shall”, or “will”), designate it with M.
16. Report to Law Enforcement	✓ if the policy document states that the school or district staff may report to law enforcement agencies outside of the school or district any student possession or use (sale or distribution) of alcohol or any type of drugs. If the policy document states that the reporting is mandatory (as indicated by the words “must”, “shall”, or “will”), designate it with M.
17. Placement in alternative school or program	✓ if the policy document states that a student may be placed in an “alternative school” or “alternative program” or receive education credits through a means other than attendance in the district’s regular schooling system (e.g. through online course taking) in response to student possession or use (sale or distribution) of alcohol or any type of drugs. If the policy document states that placement in an alternative school or program is mandatory (as indicated by the words “must”, “shall”, or “will”), designate it with M.

Exhibit A.3

Codebook for Other Features of District Substance-Related Policies

Dimension	Coding
1. Policy for drug paraphernalia	<p>Code (a) if the policy document states that responses to student possession, use, sale, or distribution of drug paraphernalia are the same as the responses to drugs.</p> <p>Code (b) if the policy document specifies that (i) a student receives a shorter term of in-school discipline, suspension, or expulsion for drug paraphernalia compared to the response to possession, use, sale, or distribution of drugs, (ii) a student does not receive in-school discipline, suspension, or expulsion for drug paraphernalia but a student does for drugs, or (iii) if the response imposed on a student is mandatory for drugs but not for paraphernalia.</p> <p>Code (c) if (i) the policy document does not mention responses to student possession, use, sale, or distribution of drug paraphernalia, or (ii) if the responses are not clear.</p> <p>Paraphernalia may also be referred to as drug-related items, equipment or devices used for preparing or taking drugs.</p>
2. Policy for Over The Counter (OTC) drugs	<p>Code (a) if the policy document states that responses to student possession, use, sale, or distribution of OTC drugs are the same as the responses to other drugs.</p> <p>Code (b) if the policy document specifies that (i) a student receives a shorter term of in-school discipline, suspension, or expulsion for OTC drugs compared to the response to possession, use, sale, or distribution of other drugs, (ii) a student does not receive in-school discipline, suspension, or expulsion for OTC drugs but a student does for other drugs, or (iii) if the response imposed on a student is mandatory for prescription or illicit drugs but not for OTC drugs.</p> <p>Code (c) if (i) the policy document does not mention responses to student possession, use, sale, or distribution of OTC drugs or (ii) if the responses are not clear.</p> <p>Code (d) if OTC drugs are mentioned only in the context of rules for school staff administering OTC drugs at school</p> <p>Code (e) if the policy applies only to specific OTC drugs (specify which drugs).</p> <p>The policy must specifically mention the term “over the counter” drug.</p>

exhibit continues

Exhibit A.3 (continued)

Dimension	Coding
3. Policies for prescription drugs prescribed for student	<p>Code (a) if the policy document states that responses to student possession, use, sale, or distribution of drugs that are prescribed for the student are the same as for other drugs.</p> <p>Code (b) if the policy document specifies that (i) a student receives a shorter term of in-school discipline, suspension, or expulsion for drugs that are prescribed for the student compared to the response for other drugs, (ii) a student does not receive in-school discipline, suspension, or expulsion for drug prescribed for the student but a student does for other drugs, or (iii) if the response imposed on a student is mandatory for other drugs but not for drugs prescribed for the student.</p> <p>Code (c) if (i) the policy document does not mention responses to the possession, use, sale, or distribution of drugs prescribed for the student, or (ii) if the responses are not clear.</p> <p>Code (d) if a student's prescription drugs are mentioned only in the context of rules for school staff or students self administering drugs at school.</p> <p>The policy document must specify that the drug is prescribed for the student. If the document makes reference to prescription drugs, but does not specify that these are drugs prescribed for the student, code in #4.</p>
4. Policies for prescription drugs <i>not</i> prescribed to student	<p>Code (a) if treated the same as other drugs</p> <p>Code (b) if treated less severely than other drugs. See the definition for less severe in item 1.</p> <p>Code (c) if (i) the policy document does not mention responses to the possession, use, sale, or distribution of prescription drugs, or (ii) if the responses are not clear.</p>
5. Policies for alcohol and other drug (AOD) look-alikes	<p>Code (a) if the consequences for look-alike AOD are the same as for alcohol and other drugs.</p> <p>Code (b) if the consequences are less severe than for AOD. See the definition for less severe in item 1.</p> <p>Code (c) if (i) drug or alcohol look-alikes are not mentioned in policy or (ii) the consequences of possession or distribution are not clear.</p> <p>Alcohol and drug look-alikes may also be referred to as facsimile or counterfeit AOD, believed by student to be AOD, represented to be AOD, or alleged to be AOD.</p>
6. Policies for alcohol versus drug offenses	<p>Code (a) if the consequences for alcohol are the same as for other drugs.</p> <p>Code (b) if the consequences for alcohol are less severe than for other drugs. See the definition for less severe in item 1.</p>
7. Prevention education described in policy/handbook	<p>✓ if the policy document references a specific alcohol or drug prevention education program. The policy must describe the drug prevention education program or name specific prevention programs or services</p>
8. School-based intervention or remediation described in policy/handbook	<p>✓ if the policy document references a specific school-based alcohol or drug intervention or remediation program. The policy must describe or state the name of the school-based intervention program or remediation</p>

exhibit continues

Exhibit A.3 (continued)

Dimension	Coding
9. Parents sign form indicating receipt of policy document	✓ if the student handbook or code of conduct document includes a form for parents to sign and return to their child's school indicating that they received the handbook or document.
10. Locations where policy applies	<p>Code (1) if the policy document states that the alcohol and drug policy is in effect on school, district, or school board property.</p> <p>Code (2) if the policy document states that the alcohol and drug policy is in effect near school, district, or school board property.</p> <p>Code (3) if the policy document states that the alcohol and drug policy is in effect to and from school, including at bus stops.</p> <p>Code (4) if the policy document states that the alcohol and drug policy is in effect during lunch.</p> <p>Code (5) if the policy document states that the alcohol and drug policy is in effect at school- or district-sponsored activities.</p> <p>Code (6) if the policy document states that the alcohol and drug policy is in effect on a school or district vehicle.</p> <p>Code (7) if the policy document states that the alcohol and drug policy is in effect in other specific instances (specify). Do not code if the policy document included vague references (e.g., any time in which behavior may reflect on the school, etc.)</p>

Exhibit A.4
Codebook for Factors That May Be Considered in
Determining Substance-Related Incident Responses

For All Factors: ✓ if these words (or words with equivalent meaning) are included in district's written policies as factors that may be considered in determining substance-related incident responses.	
1.	Student age or grade
2.	Student maturity or ability
3.	Student health
4.	Student academic placement, status, or records
5.	Student attitude, including truthfulness
6.	Student intent
7.	Previous disciplinary record or prior conduct; frequency of behavior; history of misbehavior
8.	Probability of recurrence
9.	Time since last incident
10.	Circumstances of the incident
11.	Strength of evidence
12.	Effect of misconduct on school environment or others, including danger to others, safety of others
13.	Seriousness of offense; nature of the infraction
14.	Student's disability, IEP, or 504 accommodation plan
15.	Gang relationship
16.	State law or other statutory requirements for disciplinary consequences
17.	Consideration of each violation case by case
18.	Willingness to enroll in Student Assistance Program (e.g., substance abuse treatment, counseling, drug testing etc.)
19.	Willingness to make restitution
20.	Level of parent cooperation or capabilities
21.	Discipline imposed on others in similar circumstances

Exhibit A.5
Codebook for Conditions Districts May Place on Students Related to
Suspensions or Expulsions

Suspension or Expulsion Conditions	
Enter: E for items 1–8 for conditions related to Eliminating the suspension/expulsion; S for items 1–8 for conditions related to Shortening the suspension/expulsion; or R for items 1–8 for conditions related to Returning to school following suspension/expulsion. ✓ If the document indicates that the condition is linked to suspensions or expulsions, does not specify whether the condition is for eliminating the suspension/expulsion, shortening the suspension/expulsion period, or a condition related to the student returning to school following the suspension/expulsion.	
Condition	Possession/Use or Sale/Distribution
1. Submit to drug testing	E, S, R or ✓ if the policy document states that students may be required to submit drug testing results to appropriate authorities.
2. Obtain written assessment for alcohol or drug dependence	E, S, R or ✓ if the policy document states that students may be required to obtain a written assessment for alcohol or drug dependence.
3. Complete alcohol or drug education class	E, S, R or ✓ if the policy document states that students may be required to complete an alcohol or drug education class.
4. Complete authorized counseling program	E, S, R or ✓ if the policy document states that students may be required to complete a counseling program.
5. Complete approved drug/ alcohol rehabilitation program	E, S, R or ✓ if the policy document states that students may be required to complete a drug or alcohol rehabilitation program
6. Participate in alternative education program	E, S, R or ✓ if the policy document states that students may be required to participate in an alternative education program.
7. Behavior contract	E, S, R or ✓ if the policy document states that students may be required to follow a behavioral contract.
8. Placement in suspension/ expulsion abeyance program	✓ if the policy document states that students may eliminate or reduce the term of their suspension or expulsion by meeting certain conditions, but the conditions are not specified.

ENDNOTES

¹The brief can be found at <http://ies.ed.gov/ncee/pubs/20104025/index.asp>.